

FORM PTO-1390
(REV. 01-2003)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

**TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371**

2002DE114

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

unknown 10/516928

INTERNATIONAL APPLICATION NO.

PCT/EP03/05669

INTERNATIONAL FILING DATE

30 May 2003

PRIORITY DATE CLAIMED

05 June 2002

TITLE OF INVENTION

Mixtures of Finely Ground Waxes

APPLICANT(S) FOR DO/EO/US

Franz-Leo HEINRICHS and Ernst KRENDLINGER

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☒ The US has been elected (Article 31).
5. ☐ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ Has been communicated by the International Bureau.
 - c. ☐ Is not required, as the application was filed in the United States Receiving Office (Ro/US).
6. ☒ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
 - a. ☒ is attached hereto.
 - b. ☐ Has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ Have been communicated by the International Bureau.
 - c. ☐ Have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☒ Have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11 to 20 below concern document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A preliminary amendment.
14. ☐ An application Data Sheet under 37 CFR 1.76
15. ☐ A substitute specification
16. ☐ A power of attorney and/or change of address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter .2 and 37 CFR 1.821 – 1.825.
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☒ Other items or information:
 - Express Mail Label Number: ER913328386US; copy of the International Search Report.

Customer Number 25,255

U.S. APPLICATION NO. (if known, see 37 CFR 1.33)
unknownINTERNATIONAL APPLICATION NO.
PCT/EP03/05669ATTORNEY'S DOCKET NUMBER
2002DE11421. ☒ The following fees are submitted:**BASIC NATIONAL FEE (37 CFR 1.492(a)(1)-(5)):**

Neither international preliminary examination fee (37 CFR 1.482)
Nor international search fee (37 CFR 1.445(a)(2) paid to USPTO
and International Search Report not prepared by the EPO or JPO.....\$1,110.00

International preliminary examination fee (37 CFR 1.482) not paid to
USPTO but International Search Report prepared by the EPO or JPO.....\$ 950.00

International preliminary examination fee (37 CFR 1.482) not paid to
USPTO but International Search fee (37 CFR 1.482) paid to USPTO.....\$790.00

International preliminary examination fee (37 CFR 1.482) paid to USPTO
but all claims did not satisfy provisions of PCT Article 33 (1)-(4).....\$750.00

International preliminary examination fee (37 CFR 1.482) paid to USPTO
and all claims satisfied provisions of PCT Article 33 (1)-(4)\$100.00

ENTER APPROPRIATE BASIC FEE AMOUNT =

\$ 950.00

Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months
From the earliest claimed priority date (37 CFR 1.492(e)).

\$ 0.00

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	\$
Total claims	31 - 20 =	11	x \$18.00	\$ 198.00
Independent claims	1 - 3 =	0	x \$88.00	\$ 0.00
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$300.00	\$ 0.00

TOTAL OF ABOVE CALCULATIONS =

\$ 1,148.00

☐ Applicant claims small entity status. See 37 CFR 1.27. The fee indicated above are
reduced by 1/2.

\$ 0.00

SUBTOTAL =

\$ 1,148.00

Processing fee of \$130.00 for furnishing the English translation later than 30 months
From the earliest claimed priority date (37 CFR 1.492(f)).

\$ 0.00

TOTAL NATIONAL FEE =

\$ 1,148.00

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be
accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +

\$ 40.00

TOTAL FEES ENCLOSED =

\$ 1,188.00

Amount to be**refunded:**

\$

charged:

\$

a. ☐ A check in the amount of \$ _____ to cover the above fees is enclosed.

b. ☒ Please charge my Deposit Account No. 03-2060 in the amount of \$ 1,188.00 to cover the above fees.
A duplicate copy of this sheet is enclosed.

c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any
overpayment to Deposit Account No. 03-2060. A duplicate copy of this sheet is enclosed.

d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card
information should not be included on this form.** Provide credit card information and authorization on PTO-2038.

NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137 (a)
or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:
Clariant Corporation
Industrial Property Department
4000 Monroe Road
Charlotte, North Carolina 28205
Telephone: 704-331-7151
Fax: 704-331-7707

SIGNATURE

Anthony A. Bisulca

NAME

40,913

REGISTRATION NUMBER

Customer Number 25,255

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Express Mail Label Number ER 913328386 US

Date of Mailing: December 3, 2004

CERTIFICATION UNDER 37 CFR 1.10

I hereby certify that on the date indicated above this International application and the documents referred to as enclosed therein, of:

**Inventors: Franz-Leo HEINRICHS
Ernst KRENDLINGER**

For: Mixtures of Finely Ground Waxes

**International Application No.: PCT/EP03/05669
International Filing Date: 30/05/2003 (30 May 2003)
Priority Filing Date: 05/06/2002 (05 June 2002)**

is being deposited with the United States Postal Service as "Post Office to Addressee" Express Mail addressed to the Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450, Mail Stop:, in accordance with 37 CFR 1.10.



Vicki L. Sgro